



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Jonathan D. Root et al.

Examiner: Unknown

Serial No.: 10/699,727

Group Art Unit: Unknown

Filed: November 3, 2003

Docket No.: 1001.1426103

For: PERCUTANEOUS CATHETER AND GUIDEWIRE FOR FILTERING  
DURING ABLATION OF MYOCARDIAL OR VASCULAR TISSUE

**TRANSMITTAL SHEET**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**CERTIFICATE UNDER 37 C.F.R. 1.8:** I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on this 24 day of January, 2004.

By: \_\_\_\_\_

Glenn M. Seager

We are transmitting herewith the attached:

- ☒ Information Disclosure Statement.
- ☒ Form 1449 (Pursuant to 37 CFR §1.98(d) and 37 CFR §1.98(a)(2)(i), copies of the references are not being submitted).
- ☒ Postcard receipt.
- ☒ Please charge any deficiencies or credit any overpayment in the enclosed fees to Deposit Account No. 50-0413.

By: \_\_\_\_\_

Glenn M. Seager, Reg. No. 36,926  
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PATENT

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**CERTIFICATE UNDER 37 C.F.R. 1.08:** The undersigned hereby certifies that this paper or papers, as described herein, are being deposited in the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 30 day of January, 2004.

By

Glenn M. Seager

Dear Sirs:

**INFORMATION DISCLOSURE STATEMENT**

Pursuant to the obligations of candor and good faith imposed by 37 C.F.R. 1.56, the documents listed on the attached PTO-1449 are hereby disclosed.

No representation is intended to be made hereby that any of the cited references establishes, by itself or in combination with other information, a prima facie case of unpatentability of any claim of the present case.

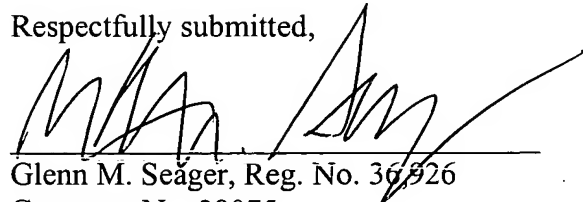
Copies of the documents listed on the 1449 Form were previously either submitted by Applicant, cited by the U.S. Patent and Trademark Office in a prior application, U.S. Application No. 09/766,940, filed January 22, 2001, now U.S. Patent

No. 6,673,090, U.S. Application No. 09/369,060, filed August 4, 1999, now U.S. Patent No. 6,235,044 or is a U.S. patent application publication or a U.S. patent, upon which Applicant relies for the benefits provided in 35 U.S.C. §120. Therefore, under the provisions of 37 C.F.R. §1.98(d) and 37 CFR §1.98(a)(2)(i), copies of these documents are not being submitted herewith.

Applicant respectfully requests that the Examiner consider the documents listed on the 1449 Form and indicate that they were considered by making appropriate notations on the attached 1449 form.

Dated: Jan. 30, 2004

Respectfully submitted,



Glenn M. Seager, Reg. No. 36,926  
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FORM 1449\*

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(Use several sheets if necessary)

Applicant: Root et al.

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## U.S. Patent Documents

Examiner Initial	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS
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## U.S. Patent Documents

	<u>3472230</u>	Oct., 1969	Fogarty	128/328.
	<u>3592186</u>	Jul., 1971	Oster	128/2.
	<u>3683904</u>	Aug., 1972	Forster	128/127.
	<u>3889657</u>	Jun., 1975	Baumgarten	128/2.
	<u>3952747</u>	Apr., 1976	Kimmell, Jr.	128/303.
	<u>3996938</u>	Dec., 1976	Clark, III	128/348.
	<u>4046150</u>	Sep., 1977	Schwartz et al.	128/328.
	<u>4425908</u>	Jan., 1984	Simon	128/1.
	<u>4447227</u>	May., 1984	Kotsanis	604/95.
	<u>4580568</u>	Apr., 1986	Gianturco	128/345.
	<u>4590938</u>	May., 1986	Segura et al.	128/328.
	<u>4619246</u>	Oct., 1986	Molgaard-Nielsen et al.	128/1.
	<u>4631052</u>	Dec., 1986	Kensey	604/22.
	<u>4643184</u>	Feb., 1987	Mobin-Uddin	128/303.
	<u>4650466</u>	Mar., 1987	Luther	604/95.
	<u>4662885</u>	May., 1987	DiPisa, Jr.	623/12.
	<u>4705517</u>	Nov., 1987	DiPisa, Jr.	623/12.
	<u>4706671</u>	Nov., 1987	Weinrib	128/348.
	<u>4723549</u>	Feb., 1988	Wholey et al.	128/344.
	<u>4728319</u>	Mar., 1988	Masch	604/22.
	<u>4733665</u>	Mar., 1988	Palmaz	128/343.
	<u>4790812</u>	Dec., 1988	Hawkins, Jr. et al.	604/22.
	<u>4790813</u>	Dec., 1988	Kensey	604/22.
	<u>4794928</u>	Jan., 1989	Kletschka	128/344.
	<u>4794931</u>	Jan., 1989	Yock	128/660.
	<u>4800882</u>	Jan., 1989	Gianturco	128/343.
	<u>4807626</u>	Feb., 1989	McGirr	128/328.
	<u>4842579</u>	Jun., 1989	Shiber	606/22.
	<u>4857045</u>	Aug., 1989	Rydell	604/22.
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	<u>4867157</u>	Sep., 1989	McGurk-Burleson et al.	128/305.
	<u>4873978</u>	Oct., 1989	Ginsburg	128/345.

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FORM 1449\*

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Group Art Unit: Unknown

<u>4898575</u>	Feb., 1990	Fischell et al.	604/22.
<u>4907336</u>	Mar., 1990	Gianturco	29/515.
<u>4921478</u>	May., 1990	Solano et al.	604/53.
<u>4921484</u>	May., 1990	Hillstead	604/104.
<u>4926858</u>	May., 1990	Gifford, III et al.	606/159.
<u>4950277</u>	Aug., 1990	Farr	606/159.
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<u>4979951</u>	Dec., 1990	Simpson	606/159.
<u>4986807</u>	Jan., 1991	Farr	604/22.
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<u>5002560</u>	Mar., 1991	Machold et al.	606/198.
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<u>5007896</u>	Apr., 1991	Shiber	604/22.
<u>5007917</u>	Apr., 1991	Evans	606/170.
<u>5011488</u>	Apr., 1991	Ginsburg	606/159.
<u>5019088</u>	May., 1991	Farr	606/159.
<u>5041126</u>	Aug., 1991	Gianturco	606/195.
<u>5053008</u>	Oct., 1991	Bajaj	604/104.
<u>5053044</u>	Oct., 1991	Mueller et al.	606/159.
<u>5071407</u>	Dec., 1991	Termin et al.	604/104.
<u>5071425</u>	Dec., 1991	Gifford, III et al.	606/159.
<u>5085662</u>	Feb., 1992	Willard	606/159.
<u>5087265</u>	Feb., 1992	Summers	606/159.
<u>5100423</u>	Mar., 1992	Fearnot	606/15.
<u>5100424</u>	Mar., 1992	Jang et al.	606/159.
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<u>5104399</u>	Apr., 1992	Lazarus	623/1.
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<u>5133733</u>	Jul., 1992	Rasmussen et al.	606/200.
<u>5135531</u>	Aug., 1992	Shiber	606/159.
<u>5152771</u>	Oct., 1992	Sabbaghian et al.	606/159.
<u>5152777</u>	Oct., 1992	Goldberg et al.	606/200.
<u>5160342</u>	Nov., 1992	Reger et al.	606/200.
<u>5171233</u>	Dec., 1992	Amplatz et al.	604/281.
<u>5190546</u>	Mar., 1993	Jervis	606/78.

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(Use several sheets if necessary)

<u>5195955</u>	Mar., 1993	Don Michael	604/22.
<u>5224953</u>	Jul., 1993	Morgentaler	606/192.
<u>5306286</u>	Apr., 1994	Stack et al.	606/198.
<u>5314444</u>	May., 1994	Gianturco	606/195.
<u>5314472</u>	May., 1994	Fontaine	623/12.
<u>5318576</u>	Jun., 1994	Plassche, Jr. et al.	606/159.
<u>5329942</u>	Jul., 1994	Gunther et al.	128/898.
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<u>5330500</u>	Jul., 1994	Song	606/198.
<u>5350398</u>	Sep., 1994	Pavcnik et al.	606/200.
<u>5354310</u>	Oct., 1994	Garnic et al.	606/198.
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<u>5366464</u>	Nov., 1994	Belknap	606/159.
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<u>5370657</u>	Dec., 1994	Irie	606/200.
<u>5370683</u>	Dec., 1994	Fontaine	623/1.
<u>5376100</u>	Dec., 1994	Lefebvre	606/180.
<u>5383887</u>	Jan., 1995	Nadal	606/200.
<u>5383892</u>	Jan., 1995	Cardon et al.	606/198.
<u>5383926</u>	Jan., 1995	Lock et al.	623/1.
<u>5387235</u>	Feb., 1995	Chuter	623/1.
<u>5395349</u>	Mar., 1995	Quiachon et al.	604/248.
<u>5397345</u>	Mar., 1995	Lazarus	623/1.
<u>5405377</u>	Apr., 1995	Cragg	623/1.
<u>5409454</u>	Apr., 1995	Fischell et al.	604/22.
<u>5415630</u>	May., 1995	Gory et al.	604/53.
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<u>5423885</u>	Jun., 1995	Williams	623/1.
<u>5425765</u>	Jun., 1995	Tiefenbrun et al.	623/12.
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<u>5456667</u>	Oct., 1995	Ham et al.	604/107.
<u>5462529</u>	Oct., 1995	Simpson et al.	604/101.
<u>5476104</u>	Dec., 1995	Sheahon	128/757.
<u>5484418</u>	Jan., 1996	Quiachon et al.	604/167.
<u>5507767</u>	Apr., 1996	Maeda et al.	606/198.

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<u>5512044</u>	Apr., 1996	Duer	604/22.
<u>5527354</u>	Jun., 1996	Fontaine et al.	623/1.
<u>5536242</u>	Jul., 1996	Willard et al.	604/30.
<u>5540707</u>	Jul., 1996	Ressemann et al.	606/159.
<u>5549626</u>	Aug., 1996	Miller et al.	606/200.
<u>5562724</u>	Oct., 1996	Vorwerk et al.	623/1.
<u>5569274</u>	Oct., 1996	Rapacki et al.	606/158.
<u>5569275</u>	Oct., 1996	Kotula et al.	606/159.
<u>5634897</u>	Jun., 1997	Dance et al.	604/35.
<u>5658296</u>	Aug., 1997	Bates et al.	606/127.
<u>5662671</u>	Sep., 1997	Barbut et al.	606/170.
<u>5669933</u>	Sep., 1997	Simon et al.	600/200.
<u>5695519</u>	Dec., 1997	Summers et al.	606/200.
<u>5709704</u>	Jan., 1998	Nott et al.	606/200.
<u>5720764</u>	Feb., 1998	Naderlinger	606/200.
<u>5728066</u>	Mar., 1998	Daneshvar	604/96.
<u>5746758</u>	May., 1998	Nordgren et al.	606/159.
<u>5749848</u>	May., 1998	Jang et al.	604/53.
<u>5769816</u>	Jun., 1998	Barbut et al.	604/96.
<u>5779716</u>	Jul., 1998	Cano et al.	606/114.
<u>5792157</u>	Aug., 1998	Mische et al.	
<u>5792300</u>	Aug., 1998	Inderbitzen et al.	156/244.
<u>5795322</u>	Aug., 1998	Boudewijn	604/22.
<u>5797952</u>	Aug., 1998	Klein	606/198.
<u>5800457</u>	Sep., 1998	Gelbfish	606/200.
<u>5800525</u>	Sep., 1998	Bachinski et al.	623/1.
<u>5810874</u>	Sep., 1998	Lefebvre	606/200.
<u>5814064</u>	Sep., 1998	Daniel et al.	606/200.
<u>5817102</u>	Oct., 1998	Johnson et al.	606/108.
<u>5827324</u>	Oct., 1998	Cassell et al.	606/200.
<u>5833644</u>	Nov., 1998	Zadno-Azizi et al.	604/52.
<u>5833650</u>	Nov., 1998	Imran	604/53.
<u>5846260</u>	Dec., 1998	Maahs	606/200.
<u>5848964</u>	Dec., 1998	Samuels	600/200.
<u>5876367</u>	Mar., 1999	Kaganov et al.	604/8.
<u>5882272</u>	Mar., 1999	Allonby	606/7.
<u>5893867</u>	Apr., 1999	Bagaoisan et al.	606/198.

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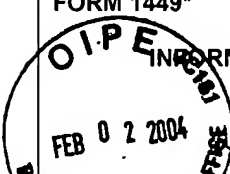
<u>5895399</u>	Apr., 1999	Barbut et al.	606/159.
<u>5902263</u>	May., 1999	Patterson et al.	604/22.
<u>5906618</u>	May., 1999	Larson, III	606/108.
<u>5908435</u>	Jun., 1999	Samuels	606/200.
<u>5910154</u>	Jun., 1999	Tsugita et al.	606/200.
<u>5911734</u>	Jun., 1999	Tsugita et al.	606/200.
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<u>5925060</u>	Jul., 1999	Forber	606/191.
<u>5925062</u>	Jul., 1999	Purdy	606/200.
<u>5925063</u>	Jul., 1999	Khosravi	606/200.
<u>5928203</u>	Jul., 1999	Davey et al.	604/247.
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<u>5934284</u>	Aug., 1999	Plaia et al.	128/898.
<u>5935139</u>	Aug., 1999	Bates	606/159.
<u>5938645</u>	Aug., 1999	Gordon	604/264.
<u>5941869</u>	Aug., 1999	Patterson et al.	604/508.
<u>5941896</u>	Aug., 1999	Kerr	606/200.
<u>5947995</u>	Sep., 1999	Samuels	606/200.
<u>5951585</u>	Sep., 1999	Cathcart et al.	606/198.
<u>5954745</u>	Sep., 1999	Gertler et al.	606/200.
<u>5976172</u>	Nov., 1999	Homsma et al.	606/200.
<u>5980555</u>	Nov., 1999	Barbut et al.	
<u>5989210</u>	Nov., 1999	Morris et al.	604/22.
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<u>5989281</u>	Nov., 1999	Barbut et al.	606/200.
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<u>6013085</u>	Jan., 2000	Howard	606/108.
<u>6027520</u>	Feb., 2000	Tsugita et al.	606/200.
<u>6042598</u>	Mar., 2000	Tsugita et al.	
<u>6051014</u>	Apr., 2000	Jang	606/200.
<u>6051015</u>	Apr., 2000	Maahs.	

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<b>FORM 1449*</b>  <b>INFORMATION DISCLOSURE STATEMENT IN AN APPLICATION</b> (Use several sheets if necessary)	<b>Docket Number:</b> 1001.1426103	<b>Application Number:</b> 10/699,727
	<b>Applicant:</b> Root et al.	
	<b>Filing Date:</b> November 3, 2003	<b>Group Art Unit:</b> Unknown

<u>6053932</u>	Apr., 2000	Daniel et al.	606/200.
<u>6059814</u>	May., 2000	Ladd	606/200.
<u>6066149</u>	May., 2000	Samson et al.	
<u>6068645</u>	May., 2000	Tu	606/200.
<u>6086605</u>	Jul., 2000	Barbut et al.	606/200.
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<u>6129739</u>	Oct., 2000	Khosravi	606/200.
<u>6136016</u>	Oct., 2000	Barbut et al.	
<u>6142987</u>	Nov., 2000	Tsugita	604/500.
<u>6152946</u>	Nov., 2000	Broome et al.	606/200.
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<u>6171327</u>	Jan., 2001	Daniel et al.	606/200.
<u>6171328</u>	Jan., 2001	Addis.	
<u>6179851</u>	Jan., 2001	Barbut et al.	606/159.
<u>6179859</u>	Jan., 2001	Bates et al.	606/200.
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<u>6203561</u>	Mar., 2001	Ramee et al.	606/200.
<u>6206868</u>	Mar., 2001	Parodi.	
<u>6214026</u>	Apr., 2001	Lepak et al.	606/200.
<u>6221006</u>	Apr., 2001	Dubrul et al.	
<u>6224620</u>	May., 2001	Maahs.	
<u>6228076</u>	May., 2001	Winston et al.	606/11.
<u>6231544</u>	May., 2001	Tsugita et al.	
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<u>6235045</u>	May., 2001	Barbut et al.	
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<u>6245088</u>	Jun., 2001	Lowery.	
<u>6245089</u>	Jun., 2001	Daniel et al.	

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Group Art Unit: Unknown

<u>6258115</u>	Jul., 2001	Dubrul.	
<u>6264663</u>	Jul., 2001	Cano.	
<u>6264672</u>	Jul., 2001	Fisher.	
<u>6270513</u>	Aug., 2001	Tsugita et al.	
<u>6277138</u>	Aug., 2001	Levinson et al.	
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<u>6280413</u>	Aug., 2001	Clark et al.	
<u>6287321</u>	Sep., 2001	Jang	606/200.
<u>6290710</u>	Sep., 2001	Cryer et al.	
<u>6309399</u>	Oct., 2001	Barbut et al.	
<u>6319268</u>	Nov., 2001	Ambrisco et al.	
<u>6344049</u>	Feb., 2002	Levinson et al.	
<u>6511492</u>	Jan., 2003	Rosenbluth et al.	606/159.

## Foreign Patent Documents

28 21 048	Jul., 1980	DE	.
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0 200 688	Nov., 1986	EP	.
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0 472 334	Feb., 1992	EP	.
0 472 368	Feb., 1992	EP	.
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FORM 1449\*

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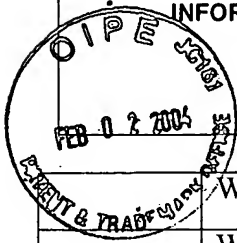
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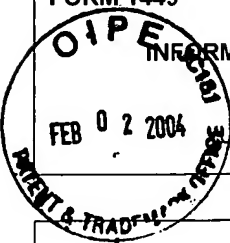


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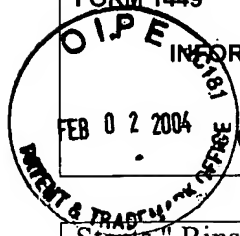
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